| UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity) *(Only for new nonprovisional applications under 37 CFR 1.53(b))* | Docket No. 6051-009 |
| | Total Pages in this Submission 51 |

TO THE ASSISTANT COMMISSIONER FOR PATENTS
Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

> **ENDOLUMINAL CARDIAC AND VENOUS VALVE PROTHESES AND METHODS OF MANUFACTURE AND DELIVERY THEREOF**

and invented by:

> BAILEY, Steven R.
> BOYLE, Christopher T.

If a CONTINUATION APPLICATION, *check appropriate box and supply the requisite information:*

☐ **Continuation** ☒ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: ___09/854,002___

Which is a:

☐ **Continuation** ☒ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: ___09/477,120___

Which is a:

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below

2. ☒ Specification having _____33_____ pages and including the following:

   a. ☒ Descriptive Title of the Invention

   b. ☒ Cross References to Related Applications *(if applicable)*

   c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*

   d. ☐ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix

   e. ☒ Background of the Invention

   f. ☒ Brief Summary of the Invention

   g. ☒ Brief Description of the Drawings *(if filed)*

   h. ☒ Detailed Description

   i. ☒ Claim(s) as Classified Below

   j. ☒ Abstract of the Disclosure

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Application Elements (Continued)

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*

    a. ☒ Formal   Number of Sheets   6

    b. ☐ Informal   Number of Sheets

4. ☒ Oath or Declaration

    a. ☐ Newly executed *(original or copy)*   ☐ Unexecuted

    b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*

    c. ☒ With Power of Attorney   ☐ Without Power of Attorney

    d. ☐ *DELETION OF INVENTOR(S)*
        Signed statement attached deleting inventor(s) named in the prior application,
        see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)

7. ☐ Application Data Sheet (See 37 CFR 1.76)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*

    a. ☐ Computer Readable Form (CFR)

    b. ☐ Specification Sequence Listing on:

        i. ☐ CD-ROM or CD-R (2 copies); or

        ii. ☐ Paper

    c. ☐ Statement(s) Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement/PTO-1449   ☐ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Certificate of Mailing

    ☐ First Class   ☒ Express Mail *(Specify Label No.):* **ER 215148140 US**

Accompanying Application Parts (Continued)

17. Applicant claims small entity status. See 37 CFR 1.27.

    ☐ (Optional) Small Entity Statement(s) - Specify Number of Statements Submitted: _____

17. ☒ Additional Enclosures *(please identify below):*

> **Certificate of Express Mailing (1 page)**

Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

Warning

An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.

P01USML/REV05

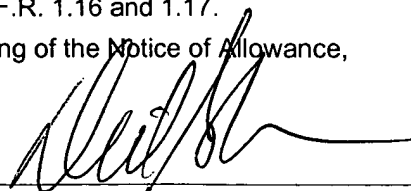| UTILITY PATENT APPLICATION TRANSMITTAL **(Small Entity)** *(Only for new nonprovisional applications under 37 CFR 1.53(b))*	Docket No. 6051-009
	Total Pages in this Submission **51**

Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate		Fee
Total Claims	11	- 20 =	0	x	$9.00	$0.00
Indep. Claims	1	- 3 =	0	x	$43.00	$0.00
Multiple Dependent Claims (check if applicable) ☐						$0.00
					BASIC FEE	$385.00
OTHER FEE *(specify purpose)*						$0.00
					TOTAL FILING FEE	$385.00

☒ A check in the amount of **$385.00** to cover the filing fee is enclosed.

☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **18-2000** as described below. A duplicate copy of this sheet is enclosed.

    ☐ Charge the amount of   as filing fee.

    ☒ Credit any overpayment.

    ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.

    ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: **November 24, 2003**

Signature

David G. Rosenbaum (Reg. No. 31,872)
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CC:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Steven R. Bailey and Christopher T. Boyle

SERIAL NO.:

FILING DATE: Herewith

TITLE: ENDOLUMINAL CARDIAC AND VENOUS VALVE PROSTHESES AND METHODS OF MANUFACTURE AND DELIVERY THEREOF
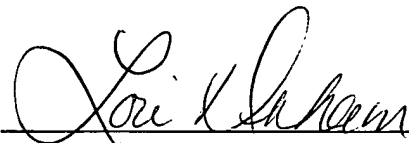
Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10

I hereby certify that the attached DIVISONAL PATENT APPLICATION, ASSOCIATED FORMAL DOCUMENTS, FORMAL DRAWINGS AND FEES are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Mailing Label No. ER 215148140 US on the date indicated below and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-14350.

<div align="center">

Lori Dunham
_____
(Person Signing Certificate)

(Signature)

November 24, 2003
_____
(Date of Signature)

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